



Alexander von
HUMBOLDT
STIFTUNG

Humboldt Research Professorship International Award for Research in Germany

– Regulations on the Use of Funds –

(January 2026)

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Regulations on the Use of Funds (as of: January 2026)

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I The programme and its objective

Through its Humboldt Research Professorships funded by the Federal Ministry of Research, Technology and Space as part of the Global Minds Initiative Germany, the Alexander von Humboldt Foundation enables top-tier researchers of all disciplines from other countries to carry out their innovative and creative research projects in Germany and establish them at German universities. Award winners are expected to initiate long-term collaborations with specialist colleagues in Germany, set up and manage an international working group in Germany and develop additional promising and creative research formats to optimally suit their research interests and methodologies.

The award is aimed at outstanding researchers from abroad who can be expected to achieve further scientific breakthroughs in the future based on their highly successful, unconventional, innovative and audacious previous research.

Receiving institutions will be given flexible options for integrating and institutionally embedding the award winners, for example in the form of shared professorships or lab-to-lab professorships, providing significant latitude to recruit outstanding academics to work on internationally highly competitive research topics in Germany and structurally expand fields of research.

Humboldt Research Professors will be permitted to simultaneously continue conducting their own professorships or working groups in their countries of origin during the sponsorship. The funding regulations also permit them to relocate fully to Germany; long-term prospects for remaining in the country can be negotiated locally on an individual basis.

The award funds total EUR 1.5 million for theoretical researchers and EUR 3 million for academics in experimental disciplines, both over a period of five years. The receiving institution in Germany will be provided with an additional administrative flat-rate amounting to 20% of the award funds. In the event that the award winner remains in Germany on a long-term basis, for example as a result of being appointed to a permanent professorship or comparable lifetime position, the receiving institution may under certain conditions apply for additional funding of up to EUR 500,000 and an extension of the sponsorship period by one year.

II. Recipient of award funds and administrative flat-rate, authority administering the funds

The recipient of the award funds and the administrative flat-rate (in the following named “funds”) is the award winner. The Alexander von Humboldt Foundation expects the receiving institution in Germany stated in the Alexander von Humboldt Foundation’s letter of conferment of the award (award letter), at which the award winner intends to conduct his/her research, to take on fiduciary responsibility for the administration of the funds in the name of and on behalf of the award winner. For this purpose, an agreement must be concluded between the award winner and the receiving institution, and submitted to the Alexander von Humboldt Foundation before the first instalment of the funds is paid (see also Form, Enclosure 1). The funds are remitted to the receiving institution at the award winner's request (see also Form, Enclosure 2).

Switching to a different receiving institution with transfer of funds is possible in consultation with the Alexander von Humboldt Foundation, provided that the award winner accepts a permanent professorship or a comparable lifetime position at an institution other than the current receiving institution. Otherwise, a switch is not envisaged.

III. Purpose, use and provision of award funds and administrative flat-rate

The award funds stated in the award letter will be available to the award winner immediately after the conferment of award for a period of five years for the purpose of establishing and managing an international working group in Germany as well as for other suitable creative and promising research formats for cooperation with specialist colleagues in Germany. In the event that the award winner remains in Germany on a long-term basis, for example as a result of being appointed to a permanent professorship or comparable lifetime position, the receiving institution and the award winner may under certain conditions apply for additional funding of up to EUR 500,000 and an extension of the sponsorship period by one year.

The award winner must use the award funds to conduct his/her research at the receiving institution in Germany. The award funds may be used to cover all expenses which serve this purpose (including the necessary equipment and material resources, personnel, travel expenses etc.). The award winner may withdraw a sum of up to EUR 10,000 per month (1/30 of the monthly amount per day) as personal income to cover his/her living expenses during a research stay in Germany. In the event of a relocation to Germany, up to EUR 120,000 per annum may be withdrawn as personal income to fund the position, for example a professorship. Other income, including additional salary payments by the receiving institution or from third parties, will not be set against this.

The award winner is otherwise free to determine the contractual details concerning his/her personal income from the award funds within the valid legal regulations as well as regulations with regard to collective bargaining and salary law in agreement with the receiving institution. The level of remuneration taken from the award funds (up to EUR 10,000 per month or up to EUR 120,000 per annum) must, however, not be exceeded.

The receiving institution in Germany receives a lump sum amounting to 20% as markup to the award funds (administrative flat-rate). It can be used to cover any costs resulting from the use of existing and/or specifically acquired material or specifically created personnel infrastructure (e.g., general institute facilities, laboratories or workrooms, operating and maintenance costs, finance and personnel management and auditing). In addition, in the event of a relocation to Germany, the administrative flat-rate may be used to finance e.g. "welcome packages" that provide measures to integrate the award winner into his/her new living environment and the research institution, including support for the professional integration of the award winner's partner. The administrative flat-rate is requested together with the award funds by the award winner with the assistance of the receiving institution (see also Form, Enclosure 2).

The receiving institution may place unused funds from the administrative flat-rate at the disposal of the award winner to carry out his or her research work.

The award funds and the administrative flat-rate must be used economically and prudently.

The funds are paid in instalments by the Alexander von Humboldt Foundation. The first instalment is available on request (see also Form, Enclosure2) as soon as the recipient of the award has

- accepted the award by returning the written declaration of acceptance to the Alexander von Humboldt Foundation,

- submitted the signed "Agreements between the award winner and the receiving institution" (see also Form, Enclosure 1),
- submitted a project outline and financial plan,
- submitted the "Fund request" (see also Form, Enclosure 2) to the Alexander von Humboldt Foundation.

Payments of funds are dependent on the availability of budgetary means.

Any interest accrued during the funding period must be used for the research project.

IV. Human and material resources

The award winner and the receiving institution come to a mutual agreement (see also Form Enclosure 1) on the procedure for employing staff during the funding period and on the regulations governing the awarding of assignments or conclusion of other contracts. The receiving institution acts as employer on behalf of the award winner. This status is based upon the local, standard legal general conditions governing the use of public funds applicable at the receiving institution (especially with respect to labour, social security and collective bargaining law). The same applies to the use of material resources, particularly expenditure on travel and the awarding of assignments to third parties. The award winner may earmark part of the award funds which the receiving institution may use to grant fellowships, particularly to guest researchers from abroad. The basis for determining the value of the fellowships should be the monthly instalments paid by the German Academic Exchange Service and the Alexander von Humboldt Foundation to graduate and post-doc fellows respectively.

V. Scientific equipment

Scientific equipment financed from the award funds is purchased by the receiving institution in the name of and on behalf of the award winner in accordance with his/her requirements. Upon purchase, it immediately becomes the property of the receiving institution. Equipment with a procurement or production value of more than EUR 800 (excluding purchase tax) passes into the inventory of the receiving institution and must continue to be used for scientific purposes when the funding period comes to an end.

The receiving institution ensures that the necessary technical and financial conditions for installing and operating the equipment exist and that the award winner has the full right of disposition over the equipment during the entire funding period. The equipment remains the property of the receiving institution in the event that the award winner transfers to another institution. The award winner may only remove the equipment to another institution in Germany in mutual agreement with the receiving institution and with prior written authorisation by the Alexander von Humboldt Foundation.

VI. Taxation, social security and other levies

The award winner bears responsibility for all matters relating to taxation, customs, employment, and social security legislation and for observing all other laws and state regulations; administrative responsibility lies with the receiving institution. A declaration of commitment to this effect must be submitted to the Alexander von Humboldt Foundation (see also Form, Enclosure 1). Particular attention is drawn to special tax regulations in respect of fellowships as well as work and service contracts in Germany and, if applicable, abroad.

VII. Exploiting research results – publications, patents and licenses. Use of the Alexander von Humboldt Foundation's logo

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship be published. In publications and all other (especially public) presentations, appropriate reference should be made to the funding provided by the Alexander von Humboldt Foundation as well as the donor, the Federal Ministry of Research, Technology and Space:

- In publications, an appropriate place must be chosen to state that funding has been provided by the Alexander von Humboldt Foundation in the framework of the Humboldt Research Professorship endowed by the Federal Ministry of Research, Technology and Space.
- Publications, stating the title and bibliographical details, must be entered in the publication list of the service portal [My Humboldt](#) on the Alexander von Humboldt Foundation's website.
- If award winners are interested in publishing research results in the fields of chemistry, physics, mathematics or informatics through the [German National Library of Science and Technology \(TIB\)](#) – Leibniz Information Centre for Science and Technology and University Library, they can contact the TIB directly ([contact information and contact persons](#)).

If it is planned to use the logo of the Alexander von Humboldt Foundation, the following needs to be observed:

- The use of the logo in any kind of communication is subject to strict rules. The logo and its constituent parts are a trademarked name and may not be reproduced without obtaining the express written authorisation of the Foundation in advance.
- The logo of the Alexander von Humboldt Foundation consists of two parts: Alexander von Humboldt's bust and the lettering. These elements jointly comprise the **inseparable** word/image trademark. The logo and its constituent parts may not be copied, altered or truncated or integrated in other logos.
- Approval for using the logo with the label “Unterstützt von/Supported by” is deemed to have been granted if publications and other, in particular public, presentations (e.g., conference presentations) contain reports on research results that are directly related to a sponsorship by the Alexander von Humboldt Foundation. For this purpose, the logo with the label “Unterstützt von/Supported by” may be downloaded from the password-protected [My Humboldt](#) section of the service portal in an electronic file format that conforms to the specific requirements for print.
- Any other uses of the logo require prior written permission from the Alexander von Humboldt Foundation and must be requested in writing, stating the intended use of the logo.

The Alexander von Humboldt Foundation considers it important that research results achieved in the framework of sponsorship are utilised. Commercially-utilisable results should be adequately protected (particularly by patents and utility models) and exploited:

- Research results potentially eligible for commercial exploitation must be presented to the appropriate agencies, such as industry. If it seems recommendable to register a patent or similar legal protection for research results, it is essential, for legal reasons, to start proceedings **before** publishing the relevant results. The people to contact, specialised in registering patents and legally protecting research results, are patent agents ("Patentanwälte*Patentanwältinnen") and patent broking companies ("Patentverwertungsstellen/ -agenturen"). All related matters (legal questions, whom to contact about publication, registering patents etc.) must be clarified with the receiving institution directly.
- The legal relationship between the award winner and the receiving institution is governed by the provisions of the German "Employees Invention Act", whereby the award winner should enjoy the same status as a professor in the legal context. A written agreement to this effect between the award winner and the receiving institution must be submitted to the Alexander von Humboldt Foundation (see also Form, Enclosure 1).

VIII. Reports on the use of funds and audits

By April 30th of each year, the award winner is required to submit a brief report on work carried out and results achieved in the preceding calendar year as well as a digital copy of the numerical (interim) report on the use of funds to the Alexander von Humboldt Foundation (see also Form, Enclosure 3). A detailed final report on work carried out and results achieved, and a digital copy of the numerical report on the use of (total) funds for the entire funding period must be submitted not later than four months after the funding period has come to an end. The receiving institution must retain the originals of the reports on the use of funds as well as the receipts for the period stated in its own regulations, for at least six years. The report on work must present the results achieved in detail and go into the most important items in the numerical report on the use of funds. Reports on work may be passed on to the Alexander von Humboldt Foundation's peer reviewers. As far as these reports contain information deserving special protection, e.g. relevant to patent law, this must be particularly indicated. In this respect, the Alexander von Humboldt Foundation would come to an agreement with the award winner prior to a possible publication.

The award winner must certify that the funds have been used in accordance with their stated purpose as well as economically and prudently. The department authorised to represent the receiving institution in personnel and business matters must certify that the facts and figures in the report on the use of funds are correct. If the receiving institution has its own auditors, they must review and endorse that the funds have been used in accordance with their stated purpose as well as economically and prudently. If the audit cannot be carried out at this institution, then an external auditor must be commissioned to conduct the audit. The costs for this may be deducted from the administrative flat-rate.

Any funds that remain unused after completion of the final accounts must be returned immediately to the Alexander von Humboldt Foundation, regardless of the deadline for submission of the final report on work carried out and the numerical report on the use of funds.

The Alexander von Humboldt Foundation, the Federal Ministry of Research, Technology and Space, as well as the Federal Audit Office or auditors authorised by them are entitled to request the submission of books, receipts and other business records and to verify the use of funds in local surveys at any time. The award winner and the receiving institution must give written approval for

this procedure and submit it to the Alexander von Humboldt Foundation (see also Form, Enclosure 1).

IX. Rules of good scientific practice, legal regulations and general obligations

The award recognises the entire academic record to date and the personality of outstanding scientists and scholars. When carrying out the research work funded, award winners are obligated to comply with the rules of good scientific practice and the relevant laws that apply at the respective research location, and to the Alexander von Humboldt Foundation. Besides personal integrity it is further assumed that award winners have observed the applicable regulations and laws also in the previous research they have conducted.

By accepting the award, the award winners obligate themselves:

1. to notify the Alexander von Humboldt Foundation immediately if the intended use of funds is altered or no longer relevant. This also applies to anything more than just minor changes to the approved research project (see also III. "project outline");
2. when carrying out the research work funded, to comply in Germany *in particular* with:
 - the rules of good scientific practice (see also Enclosure 4)
 - when planning and carrying out experiments on human subjects
 - a. the [World Medical Association Declaration of Helsinki – Ethical Principles for Medical Research Involving Human Subjects](#) in the revised version of October 2013;
 - b. the [German Embryo Protection Act](#) (Gesetz zum Schutz von Embryonen, ESchG), as amended;
 - c. the [German Act Ensuring Protection of Embryos](#) in Connection with the Importation and Use of Human Embryonic Stem Cells (Gesetz zur Sicherstellung des Embryonenschutzes im Zusammenhang mit Einfuhr und Verwendung menschlicher embryonaler Stammzellen, StZG), as amended;
 - when planning and carrying out experiments on animals, the regulations of [the German Animal Welfare Act](#) (Tierschutzgesetz, TierSchG) and the relevant implementing rules, as amended;
 - when planning and carrying out genetic engineering experiments, [the regulations of the German Genetic Engineering Act](#) (Gesetz zur Regelung der Gentechnik, GenTG) and the relevant implementing rules, as amended;
 - when planning and carrying out experiments relating to matters of biological diversity as covered by the Nagoya Protocol:
 - a. [Regulation \(EU\) No 511/2014](#) on Compliance Measures for Users from the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization in the Union;
 - b. [Implementing Regulation \(EU\) 2015/1866](#) laying down detailed rules

- for the implementation of Regulation (EU) No 511/2014 as regards the register of collections, monitoring user compliance and best practices;
- c. [the German Act Implementing the Obligations under the Nagoya Protocol, Implementing Regulation \(EU\) No. 511/2014 and Amending the Patent Act and the Environmental Audit Act](#) (Gesetz zur Umsetzung der Verpflichtungen nach dem Nagoya-Protokoll, zur Durchführung der Verordnung (EU) Nr. 511/2014 und zur Änderung des Patentgesetzes sowie zur Änderung des Umweltauditgesetzes), as amended;
- when transferring knowledge abroad, which could be of importance to the military or the armaments industry of the transfer countries, the respective valid version of the relevant regulations in the Federal Republic of Germany's [foreign trade law](#) and [foreign trade decrees](#) as well as further relevant implementation rules.
- When using the sponsorship received, the provisions of the respective current Budget Act of the Federal Republic of Germany, according to which the funds may not be used to finance terrorist activities and may not be given to recipients who are terrorist organizations or support terrorist organizations.

3. In agreement with the receiving institution and in accordance with the requirements for leading an international working group and carrying out the planned research work in Germany, to be present at the receiving institution on a regular and long-term basis;
4. to inform the Alexander von Humboldt Foundation immediately of applications for or any further funding granted for the same purpose;
5. to abide by the rules on the use of the logo of the Alexander von Humboldt Foundation (see also VII).

X. General regulations

The Regulations on the Use of Funds are integral to the award.

The German-language text of the Regulations on the Use of Funds is authoritative; the English-language text merely serves as a useful translation.

Should the Regulations on the Use of Funds fail to be respected, the Alexander von Humboldt Foundation reserves the right to revoke the decision on conferring the award in part or in full, to discontinue payment of further funds or to demand repayment of the funds granted or parts thereof. This also applies if

- the award winner makes or has made false statements during the nomination process or during the funding period or if other serious facts emerge which would have militated against the conferment of the award had they been known to the selection committee at the time. The procedures and penalties in the event of violations of the Regulations on the Use of Funds and especially in case of scientific or other malpractice are detailed in the document "Rules of good scientific practice, procedures, and penalties in the event of malpractice" (see also Enclosure 4);
- the conditions for receiving sponsorship are no longer met;

- the award winner terminates the sponsorship in Germany;
- it becomes evident that the award winner is not making sufficient or reasonable efforts to achieve the purpose of the sponsorship;
- the award winner is denied entry to or permission to reside in the Federal Republic of Germany
- the award winner participates in terrorist activities or supports terrorist activities.

If the Alexander von Humboldt Foundation terminates the sponsorship, payment of funds is discontinued and any payments made for the period after termination must be repaid. If incorrect information has been provided regarding significant facts or if such facts have been concealed, or if the Alexander von Humboldt Foundation has identified serious violations of the Rules of Good Scientific Practice and established these in properly completed proceedings, the amounts received must be repaid from the beginning as per Section 49a Para. 3 of the German Administrative Procedure Act (“Verwaltungsverfahrensgesetz”, VwVfG) at an annual interest rate of five percent above the base rate in accordance with Section 247 of the German Civil Code (“Bürgerliches Gesetzbuch”, BGB).

In other cases where the sponsorship is terminated by the Alexander von Humboldt Foundation, the amounts received must be repaid from the date on which the reason for termination occurred and interest must be paid accordingly. The obligation to return the funds persists even after the sponsorship period has ended. If the reason for termination does not lie with the award winner, he or she may retain any funds paid by the Alexander von Humboldt Foundation up to the point of termination of the sponsorship.

The Alexander von Humboldt Foundation reserves the right to amend the Regulations on the Use of Funds at any time, provided that the amendments, while taking due account of the interests of the Alexander von Humboldt Foundation, are reasonable vis-à-vis the award winner. Amendments will be announced to the award winner in writing well in advance. The amendments are considered to have been approved if the award winner has not lodged an objection in writing within four weeks. In the event of an objection, the Alexander von Humboldt Foundation reserves the right to cease funding within a reasonable period of time.

The sole legal venue is Bonn/Germany. German law applies exclusively without conflicting rules.

(as of: January 2026)



TRANSLATION (For completion please use the German version)

Humboldt Research Professorship

Agreements between the award winner and the receiving institution

Award winner:

Receiving institution entrusted with the administration of funds (award funds and administrative flat-rate):

The above-mentioned institution and the award winner have reached the following agreements:

a) Purpose and administration of funds:

The award funds are intended for carrying out the award winner's research at the receiving institution in Germany. The administrative flat-rate is intended for compensating the receiving institution for the resulting material and staff expenses. The receiving institution entrusted with the administration of funds has taken note of the Regulations on the Use of Funds enclosed in the award documents and will support the award winner to the best of its ability while observing these regulations. In addition, the following agreements have been concluded:

b) Agreement on the administration of funds as well as taxation, customs, employment and social security matters; furthermore, on compliance with other laws and state regulations (declaration of commitment; see also **Regulations on the Use of Funds, II., IV., VI., VIII., IX.):**

The award winner bears responsibility for all matters relating to taxation, customs, employment and social security legislation and for observing all other laws and state regulations; administrative responsibility lies with the receiving institution. The latter acts as employer on behalf of the award winner, takes on responsibility for the administration of funds and retains the receipts for the period stated in its own regulations, for at least six years.

c) Agreement on patents and licenses (see also **Regulations on the Use of Funds, VII.):**

The legal relationship between the award winner and the receiving institution is governed by the provisions of the German "Employees Invention Act", whereby the award winner should enjoy the same status as a professor in the legal context.

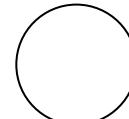
d) Agreement on the right to audit (see also **Regulations on the Use of Funds, VIII.):**

The Alexander von Humboldt Foundation, the Federal Ministry of Research, Technology and Space, as well as the Federal Audit Office or auditors authorised by them are entitled to request the submission of books, receipts and other business records and to verify the use of funds in local surveys at any time.

e) Alterations and additions to these agreements require the authorisation of the Alexander von Humboldt Foundation.

Place and date

Award winner's personal signature



Designation and official stamp of the office authorised to represent the receiving institution in personnel and business matters

Place and date

Name of signatory

Personal signature

Humboldt Research Professorship
Mittelabruf / Fund Request
Preisträger*in / Award winner:

Mit der Verwaltung der Mittel (Preisgeld und Verwaltungspauschale) betraute aufnehmende Institution / Receiving Institution entrusted with the administration of funds (award funds and administrative flat-rate):

Benötigte Mittel/ Funds required:

Jahr/Year	2026	2027	2028	2029	2030	2031	Gesamt/ Total
1. Personalmittel (Hinweis: Mittel zur Deckung des Lebensunterhaltes der Preisträgerin*des Preisträgers in Deutschland – max. 10.000,- EUR pro Monat oder 1/30 des Betrages pro Tag) bzw. max. 120.000 EUR p.a. / Human resources (Please note: funds to cover the award winner's living expenses in Germany – max. of EUR 10,000 per month or 1/30 of the amount per day, respectively max. of EUR 120,000 p.a.)	EUR						
2. Sachmittel / Material resources	EUR						
3. Verwaltungspauschale (bis zu 20 % als Aufschlag auf das Preisgeld) / Administrative flat-rate (up to 20 % as markup to the award funds)	EUR						
Summe/Total	EUR						

Die Auszahlung erfolgt in Teilbeträgen – je nach Bedarf und Verfügbarkeit der Haushaltsmittel – sobald wie möglich. Der Kassenbestand zum 31.12. eines jeden Jahres darf 20% des in dem betreffenden Jahr ausgezahlten Gesamtbetrages nicht überschreiten; in begründeten Ausnahmefällen ist eine Überschreitung möglich. /

Payments are made in instalments and are effected – depending on the demand and the availability of budgetary means – as soon as possible. The cash balance as per Dec. 31st of each year must not exceed 20% of the instalment paid that year; in exceptional cases this amount can be exceeded.

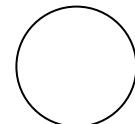
Kontoverbindung der mit der aufnehmenden Institution:/ **Bank account of the receiving institution:**

Kontoinhaber*in / Account holder	
Name der Bank / Name of the bank	
BIC / SWIFT Code / Bank code	
IBAN / Account number	
Evtl. Verwendungszweck / Intended use if applicable	

Ort und Datum / Place and date

Eigenhändige Unterschrift der Preisträgerin*des Preisträgers
Award winner's personal signature

Wir haben bei der Erstellung dieses Mittelabruftes mitgewirkt:/
We have assisted in the preparation of this Fund Request:



Bezeichnung und Dienststempel der Stelle, die zuständig ist, die aufnehmende Institution im Bereich der Personal- und Wirtschaftsverwaltung zu vertreten /
Designation and official stamp of the department authorised to represent the receiving institution in personnel and business matters.

Ort und Datum / Place and date

Name der*des Unterzeichnenden /
Name of signatory

Eigenhändige Unterschrift / Personal signature

Humboldt Research Professorship
Report on the Use of Funds

for the period from

to

Interim report

Final report – Please indicate

Award winner:

Receiving institution entrusted with the administration of funds:

Award funds (total):

Administrative flat-rate (total):

Funding period (total):

to

A. Report on work carried out and results achieved (please attach as separate enclosure)

B. Numerical report for the report period from

to

:

Cash balance at the beginning of the report period

of these: award funds

of these: administrative flat-rate

Award funds accrued during the report period

Administrative flat-rate accrued during the report period

Interest accrued during the report period

Total disposable funds during the report period

of these: award funds

of these: administrative flat-rate

Expenses paid from the funds:

1. Human Resources

of these: personal income of the award winner

2. Material resources

2.1. Scientific equipment

Items with a procurement or production value of more than EUR 800 (excluding purchase tax) are included in the receiving institution's inventory. They are available to be used for scientific purposes as of the end of the funding period.

2.2. Travel expenses

2.3. Consumables/Other

3. Administrative flat-rate

Total expenditure during the report period

Cash balance at the end of the report period

of these: award funds

of these: administrative flat-rate

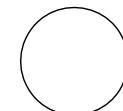
After submitting a digital copy of the report on the use of funds to the Alexander von Humboldt Foundation, the receipts as well as the original of the report on the use of funds will be retained by the receiving institution for the period stated in its regulations, for at least six years.

The report on work carried out and results achieved is enclosed. The Regulations on the Use of Funds have been observed. The funds have been used economically and prudently.

Place and date

Award winner's signature

It is herewith certified that the above-cited facts and figures are correct:



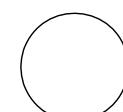
Designation and, if applicable, official stamp of the department authorised to represent the receiving institution in personnel and business matters

Place and date

Name of signatory

Personal signature

It is herewith certified that the funds have been used in accordance with their stated purpose as well as economically and prudently and, furthermore, that the transactions and receipts correspond with the data:



Designation and, if applicable, official stamp of the auditing body

Please indicate:

Department of the receiving institution authorised to conduct internal audits

External auditor

Place and date

Name of signatory

Personal signature

Rules of good scientific practice, procedures, and penalties in the event of malpractice

1. Rules of Good Scientific Practice

- 1.1.Those sponsored by the Alexander von Humboldt Foundation are obligated to inform themselves about and comply with the rules of good scientific practice that are in effect at their host institution.
- 1.2.Moreover, those sponsored are to pledge themselves, and the staff they employ in the framework of Alexander von Humboldt Foundation funding, to observe the rules of good scientific practice below. Violations of these rules and scientific or other malpractice (see paragraphs 2 and 3) may result in the penalties described in paragraph 4 below.
- 1.3.The following principles constitute the rules of good scientific practice, both in general and specified to the individual disciplines as necessary:

- **General principles of scientific work:**

- to work *in accordance with the accepted standards of the discipline*;
- to consider aspects of security-relevant research¹ (dual use, ethics) and document these while assessing opportunities and risks;
- to observe the rules specific to the respective discipline with regard to the attaining, selecting, using, documenting and long-term securing of data and other findings
- to challenge consistently all one's own findings
- to maintain strict honesty with regard to the contributions of partners, competitors, and predecessors.

- **Cooperation and supervisory responsibility in working groups:**

- to assure cooperation and supervisory responsibility in working groups; in particular, to take organisational measures to ensure that the tasks of leadership, supervision, conflict management, and quality assurance are clearly assigned and actually fulfilled;
- not to compromise the research activities of others.

- **Supervision of junior researchers:**

- to ensure appropriate supervision for graduates, doctoral candidates and students, in particular by providing each of them with a primary mentor in the working group. Responsibility for promoting junior researchers is a top-level management priority.

¹ Refer to [Recommendations for Handling Security-Relevant Research](#) by the German Research Foundation (Deutsche Forschungsgemeinschaft, DFG).

- **Scientific publications:**

- to produce and disseminate scientific publications in accordance with the accepted rules and standards of the discipline; and, in particular when new findings are to be published, to describe these findings and the applied methods completely and comprehensibly as well as account for one's own and others' preliminary work exhaustively and correctly.
- If several participants are involved in a scientific project and its subsequent publication, only those can be named as co-authors who significantly contributed to the conceptual design, formulation, analysis and interpretation of the data or findings, and the drafting of the manuscript, and have consented to its publication; so-called 'honorary authorship' is not permissible; third-party support is to be listed under acknowledgements.

2. Scientific or other malpractice

2.1. Scientific malpractice is the misrepresentation of facts in a scientific context, either consciously or due to gross negligence, infringement of intellectual property of others, or any other encroachment upon others' research activities. Decisions will be made on a case-by-case basis. The following, in particular, can be considered scientific malpractice:

2.1.1. Misrepresentation of facts such as

- 2.1.1.1. forging or distorting data, e. g. by selecting and rejecting undesirable results without declaring them, or by manipulating illustrations or images, or by incongruously presenting images and associated statements;
- 2.1.1.2. false information in an application or a sponsorship proposal, including false information about the publication organ and publications in print.

2.1.2. Unauthorised appropriation of others' scientific achievements

concerning copyrighted work by others or significant scientific findings, hypotheses, teachings, or research approaches by others such as

- 2.1.2.1. unauthorised utilisation by presumption of authorship (plagiarism), exploitation of research approaches and ideas, in particular as a peer reviewer (theft of ideas);
- 2.1.2.2. presumption or unsubstantiated appropriation of scientific authorship or co-authorship;
- 2.1.2.3. misrepresentation of contents;
- 2.1.2.4. unauthorised publication and unauthorised granting of access to third parties prior to publication of the work, the finding, the hypothesis, the teaching or the research approach;
- 2.1.2.5. claiming authorship or co-authorship of others without their consent.

2.1.3. Sabotage of research activity, including damaging, destroying, or manipulating experimental arrangements, equipment, documents, hardware, chemicals, or other materials needed by others to conduct

scientific work (including malicious displacement or abstraction of books and other documents).

- 2.1.4. Deletion of primary data if it infringes legal provisions or accepted principles of scientific work in the discipline.
- 2.2. Scientific misconduct also comprises behaviour that entails a shared responsibility for the misconduct of others, in particular by active participation, joint knowledge of misrepresentations, co-authorship of falsified publications, or gross negligence of supervisory responsibilities.
- 2.3. For the purpose of the present rules, other misconduct is applicable if grave circumstances are discovered that challenge the personal aptitude of the individual sponsored to be a member (multiplier) of the global Alexander von Humboldt Foundation network. One of the indispensable expectations of those receiving support is that they do not demean other people on the basis of their membership of a group such as nationality, religion, gender, ethnicity or sexual orientation, incite violence on such characteristics or glorify violence.

3. Penalties

In the event of grave violation of the above rules of good scientific practice, in particular scientific or other malpractice, the Alexander von Humboldt Foundation can impose one or several of the following penalties, depending on the nature and gravity of the established misconduct:

- 3.1. written reprimand of the person concerned;
- 3.2. request that the person concerned retract the discredited publication or correct the falsified data (in particular by publishing an erratum), or appropriately indicate the recall of Alexander von Humboldt Foundation sponsorship, for example in the erratum;
- 3.3. Temporary suspension of sponsorship decisions pending the resolution of the issue
- 3.4. Forfeiture of eligibility for Alexander von Humboldt Foundation sponsorship, permanent or temporary, depending on the gravity of the scientific malpractice;
- 3.5. Revocation of funding decisions (complete or partial cancellation of the grant, recall of funds granted, reclaim of funds spent), including the denial of the status of "Humboldtian";
- 3.6. Exclusion from review and committee work for Alexander von Humboldt Foundation.

4. Procedures

If a violation of the rules of good scientific practice (paragraph 1) or scientific or other malpractice (paragraph 2) is suspected, the following basic procedures take effect:

- 4.1.If probable cause is brought to the attention of the Alexander von Humboldt Foundation, the suspected person must be notified of the incriminating facts and be given the opportunity to respond in writing within four weeks. Simultaneously, the implementation of a funding decision can be suspended temporarily until the issue is resolved (see paragraph 3.3.). Without their consent, the identity of the informant and the allegedly injured party will not be disclosed to the party concerned in this phase (whistleblower protection).
- 4.2.In order to clarify the issue, the Alexander von Humboldt Foundation office is authorised to request oral or written statements by the concerned as well as third parties at any time.
- 4.3.If no response is received or if a response is examined and the suspicion persists, the Alexander von Humboldt Foundation will notify the party concerned, explicitly indicating the Alexander von Humboldt Foundation's penalty options as well as the right of the party to remonstrate within 4 weeks.
- 4.4.If use is not made of the right to remonstrate, the Alexander von Humboldt Foundation may impose one of the measures listed above in paragraph 3.
- 4.5.If the remonstration submitted by the person concerned fails to convince the Alexander von Humboldt Foundation, and in particular, fails to refute the probable cause plausibly, the Alexander von Humboldt Foundation may impose one of the above-mentioned penalties. The Alexander von Humboldt Foundation may seek an expert opinion regarding the alleged misconduct from the Ombuds Committee for Research Integrity in Germany, which is institutionally funded by the DFG, or from the comparable office at the host institution before making a decision.

5. Scope of application, coming into effect and temporary provisions

The above regulations apply to academics who receive sponsorship from the Alexander von Humboldt Foundation as well as applicants for funding, host institutions, alumni, members of selection committees, peer reviewers and special reviewers of the Alexander von Humboldt Foundation.

The regulations take effect on 01.08.2007. Individual projects sponsored by the Alexander von Humboldt Foundation that have been concluded by this date will not be affected by these regulations. They are, however, subject to the general rule that the Alexander von Humboldt Foundation can alter or revoke its funding decisions if circumstances are brought to its attention after the fact that would have led to a different decision on the part of the Alexander von Humboldt Foundation.